

07-09-01

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PTO/SB/05 (03-01)

Approved for use through 10/31/2002 OMB 0651-0032

U S Patent and Trademark Office, U S DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 010185  
First Inventor Williams, et al.  
Title SPIN POLARIZED WAVE DIVISION  
Express Mail Label No. EL 826297530 US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27
3. ☒ Specification [Total Pages 14]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 7]
5. Oath or Declaration [Total Pages 3]
  - a. ☒ Newly executed (original or copy)  
Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
  - b. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
6. ☐ Application Data Sheet See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:


☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. /  
Prior application information Examiner Group Art Unit

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label  or ☒ Correspondence address below

Name Dennis M. Carleton  
Address BUCHANAN INGERSOLL  
One Oxford Centre, 20th Floor  
City Pittsburgh State PA Zip Code 15219  
Country USA Telephone 412/562-1895 Fax 412/765-0163

Name (Print/Type)	Dennis M. Carleton	Registration No. (Attorney/Agent)	40,938
Signature		Date	July 6, 2001

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Date of Deposit: July 6, 2001

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BUCHANAN INGERSOLL PC  
One Oxford Center, 20th Floor  
Pittsburgh, PA 15222

*Tamy Styler*

**PATENT**  
**Attorney Docket No. 011085**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**Applicants:** Larry Williams, et al. )  
Serial No.: Not Yet Assigned )  
**Filed:** 6 July 2001 )  
**Entitled:** SPIN POLARIZED WAVE DIVISION )

**TRANSMITTAL FOR PATENT APPLICATION**

To: Assistant Commissioner for Patents  
Box PATENT APPLICATION  
Washington, D.C. 20231

Dear Sir:

Enclosed for filing is the above-referenced patent application. Transmitted herewith for filing are:

1. Utility Patent Application Transmittal (Form PTO/SB/05);
2. Fee Transmittal (Form PTO/SB/17);
3. Fourteen (14) pages of specifications including three (3) claims;
4. Seven sheets of figures including eleven (11) informal drawing; and
5. Declaration for Patent application.

Also enclosed is a return postcard. Please date stamp the postcard and return it to us to acknowledge receipt of this application.

The Commissioner is hereby authorized to charge any underpayment or credit any overpayment to our Deposit Account No. 02-4553. A duplicate copy of this Transmittal letter is enclosed.

Respectfully submitted,



Dennis M. Carleton  
Reg. No. 40,938

BUCHANAN INGERSOLL  
One Oxford Centre, 20th Floor  
301 Grant Street  
Pittsburgh, PA 15219  
(412) 562-1895

Dated: 6 July 2001

Attorney for Applicants

09900650-070601

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**FEE TRANSMITTAL  
for FY 2001**

Patent fees are subject to annual revision.

**Complete if Known**

Application Number	
Filing Date	July 6, 2001
First Named Inventor	Williams, et al.
Examiner Name	
Group Art Unit	
Attorney Docket No.	010185

TOTAL AMOUNT OF PAYMENT (\$ ) 710.00

**METHOD OF PAYMENT**

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit  
Account  
Number

02-4553

Deposit  
Account  
Name

BUCHANAN INGERSOLL

- ☒
- Charge Any Additional Fee Required
- 
- Under 37 CFR 1.16 and 1.17

- ☐
- Applicant claims small entity status.
- 
- See 37 CFR 1.27

- 2.
- ☒
- Payment Enclosed:

☒ Check ☐ Credit card ☐ Money  
Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Small Entity

Fee Fee Fee Fee Fee Description  
Code (\$) Code (\$) Code (\$)

101	710	201	355	Utility filing fee
106	320	206	160	Design filing fee
107	490	207	245	Plant filing fee
108	710	208	355	Reissue filing fee
114	150	214	75	Provisional filing fee

Fee Paid

710.00

SUBTOTAL (1) (\$ ) 710.00

**2. EXTRA CLAIM FEES**

Total Claims	3	Extra Claims	20** = 0	Fee from below	0	Fee Paid	0
Independent Claims	1		3** = 0				0
Multiple Dependent							

Large Entity Small Entity

Fee Fee Fee Fee Fee Description  
Code (\$) Code (\$) Code (\$)

103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(0).00

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Small Entity

Fee Fee Fee Fee Fee Description  
Code (\$) Code (\$) Code (\$)

105	130	205	65	Surcharge - late filing fee or oath
127	50	227	25	Surcharge - late provisional filing fee or cover sheet
139	130	139	130	Non-English specification
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination
112	920*	112	920*	Requesting publication of SIR prior to Examiner action
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action
115	110	215	55	Extension for reply within first month
116	390	216	195	Extension for reply within second month
117	890	217	445	Extension for reply within third month
118	1,390	218	695	Extension for reply within fourth month
128	1,890	228	945	Extension for reply within fifth month
119	310	219	155	Notice of Appeal
120	310	220	155	Filing a brief in support of an appeal
121	270	221	135	Request for oral hearing
138	1,510	138	1,510	Petition to institute a public use proceeding
140	110	240	55	Petition to revive - unavoidable
141	1,240	241	620	Petition to revive - unintentional
142	1,240	242	620	Utility issue fee (or reissue)
143	440	243	220	Design issue fee
144	600	244	300	Plant issue fee
122	130	122	130	Petitions to the Commissioner
123	50	123	50	Petitions related to provisional applications
126	240	126	240	Submission of Information Disclosure Stmt
581	40	581	40	Recording each patent assignment per property (times number of properties)
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))
179	710	279	355	Request for Continued Examination (RCE)
169	900	169	900	Request for expedited examination of a design application

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ )

**SUBMITTED BY**

Name (Print/Type) Dennis M. Carelton

Registration No.  
(Attorney/Agent)

40,938

**Complete (if applicable)**

Telephone 412/562-1895

Signature

Date

July 6, 2001

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

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10900650 070601

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37 CFR 1.10 - SEPARATE PAPER

ATTORNEY'S DOCKET NO.

010185

IN RE APPLICATION OF

Larry Williams, et al.

SERIAL NUMBER

FILED

July 6, 2001

FOR

SPIN POLARIZED WAVE DIVISION

GRP. ART UNIT

EXAMINER

"Express Mail" mailing label number EL 826297530 US

Date of deposit July 6, 2001

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Addressee" service under 37 CFR 1.10 on the date indicated above  
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Washington, D.C. 20231.

Tammy L. Styen

(Typed or printed name of person mailing paper or fee)

Tammy Styen

(Signature of person mailing paper or fee)